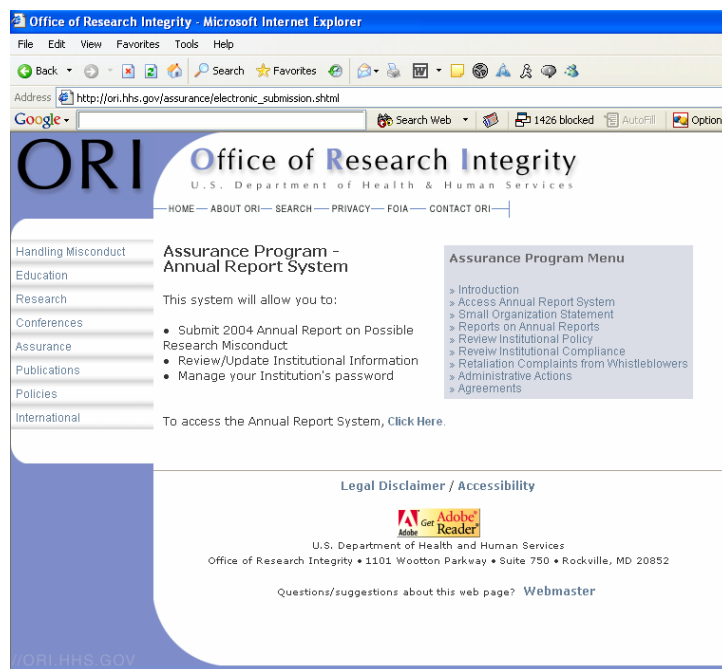# How to Navigate the ORI Annual Report System Handbook

URL: http://ori.hhs.gov/assurance/electronic_submission.shtml

Please contact me if you have any problems.

Thank you for your cooperation.

Randi M. Freedman
Assurance Program Manager
Office of Research Integrity,
Division of Education and Integrity
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Rockville, MD 20852
Phone: (301) 443-0398
FAX: (301) 594-0042

Table of Contents

Step 1: From the Assurance Program - Annual Report System homepage (Figure 1) select "To access the Annual Report System, **Click here**."
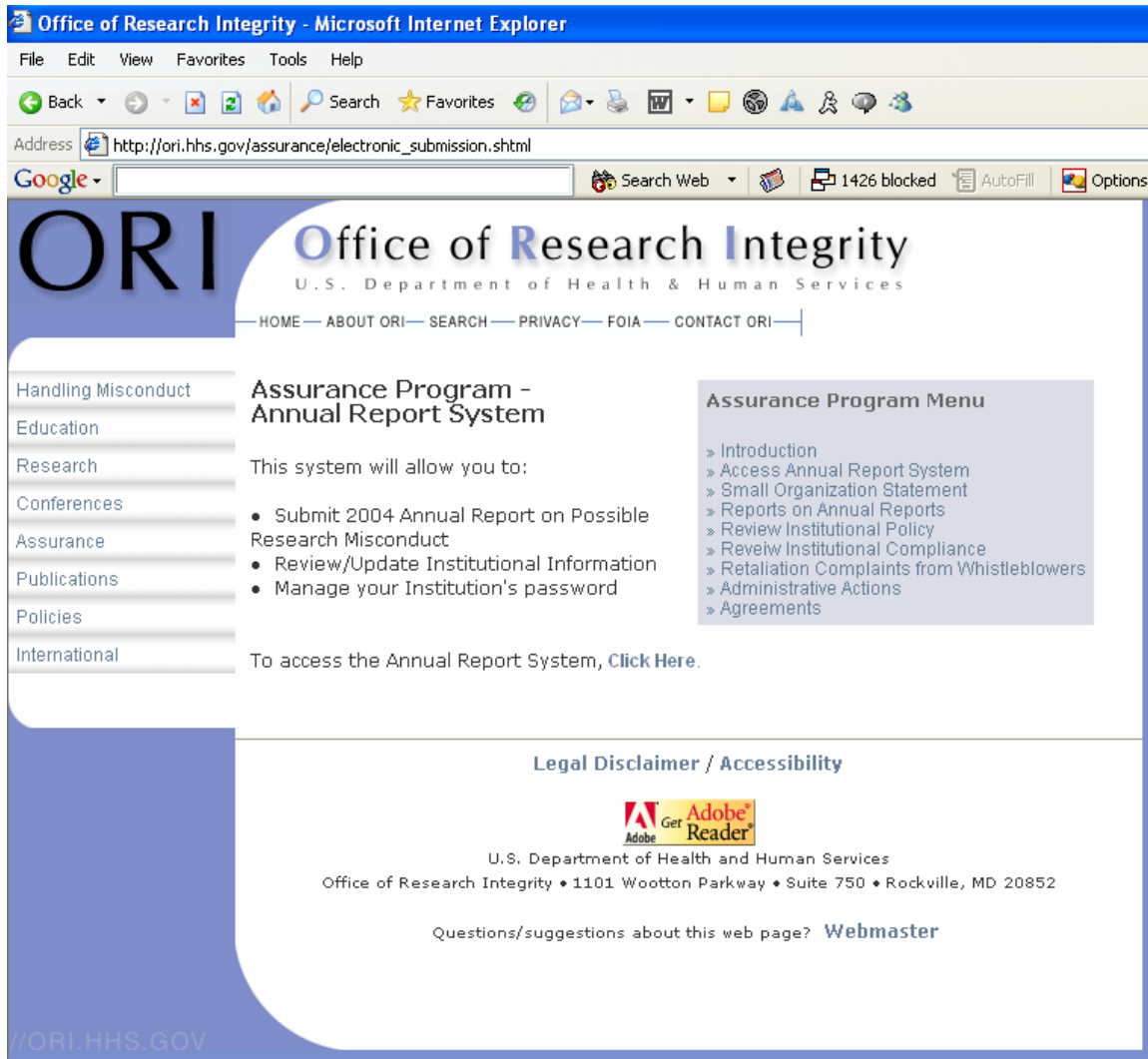

Figure 1

Result: Assurance Program – Annual Report System login screen appears (Figure 2)

Step 2: Enter your institution's User ID (Institutional Profile Number, i.e. IPF number)

NOTE: If this is **NOT** your first time logging into the new Annual Report system, and you have forgotten your User ID and/or password go to **PAGE 29** of this handbook.

Step 3: Enter your institution's Password (IPF Number).

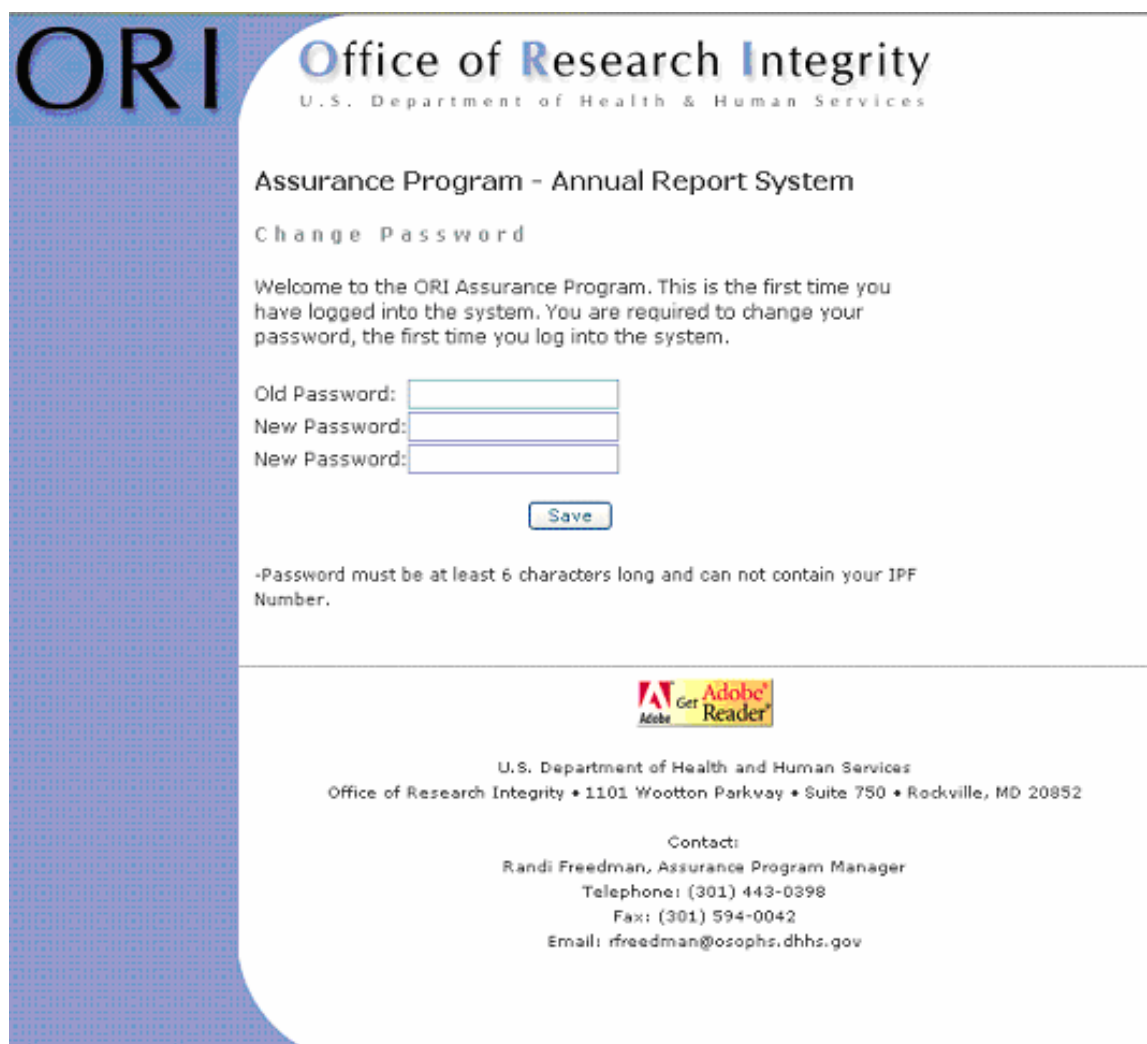**NOTE:** You will be prompted to change your password the first time you log into the system.

Figure 2

Result: Assurance Program – Annual Report System Password Change screen appears (Figure 3)**.**

If this is the first time logging into the new system, you are required to change your password. You will **<u>not</u>** see this screen again the next time you log into the system.

Step 4: Enter a new password. Password must be <u>at least six characters long and can NOT contain your institution's IPF number</u>. Retype your new password to ensure correctness. Select "Save."

Figure 3

Result: Password has been changed notification screen appears (Figure 4).

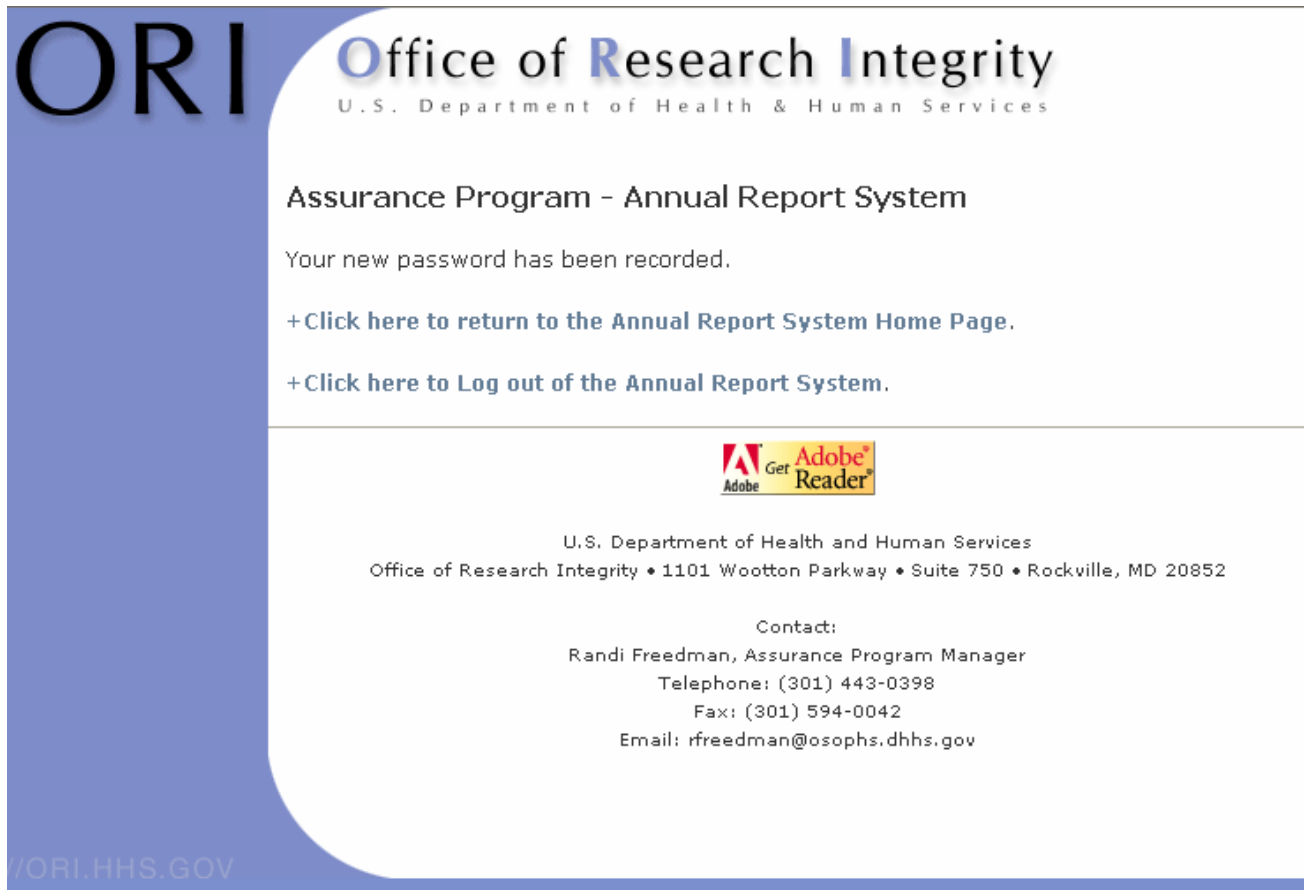**Step 5:** Select "Click here to return to the Annual Report System Home Page."

Figure 4

Result: Assurance Program - Annual Report System Home Page (Figure 5).

NOTE: The following four options are available on the home page. (*This handbook will help you navigate through these four options)*:

+ Review/Update Institutional Information Section

+ Submit 2004 Annual Report on Possible Research Misconduct Report

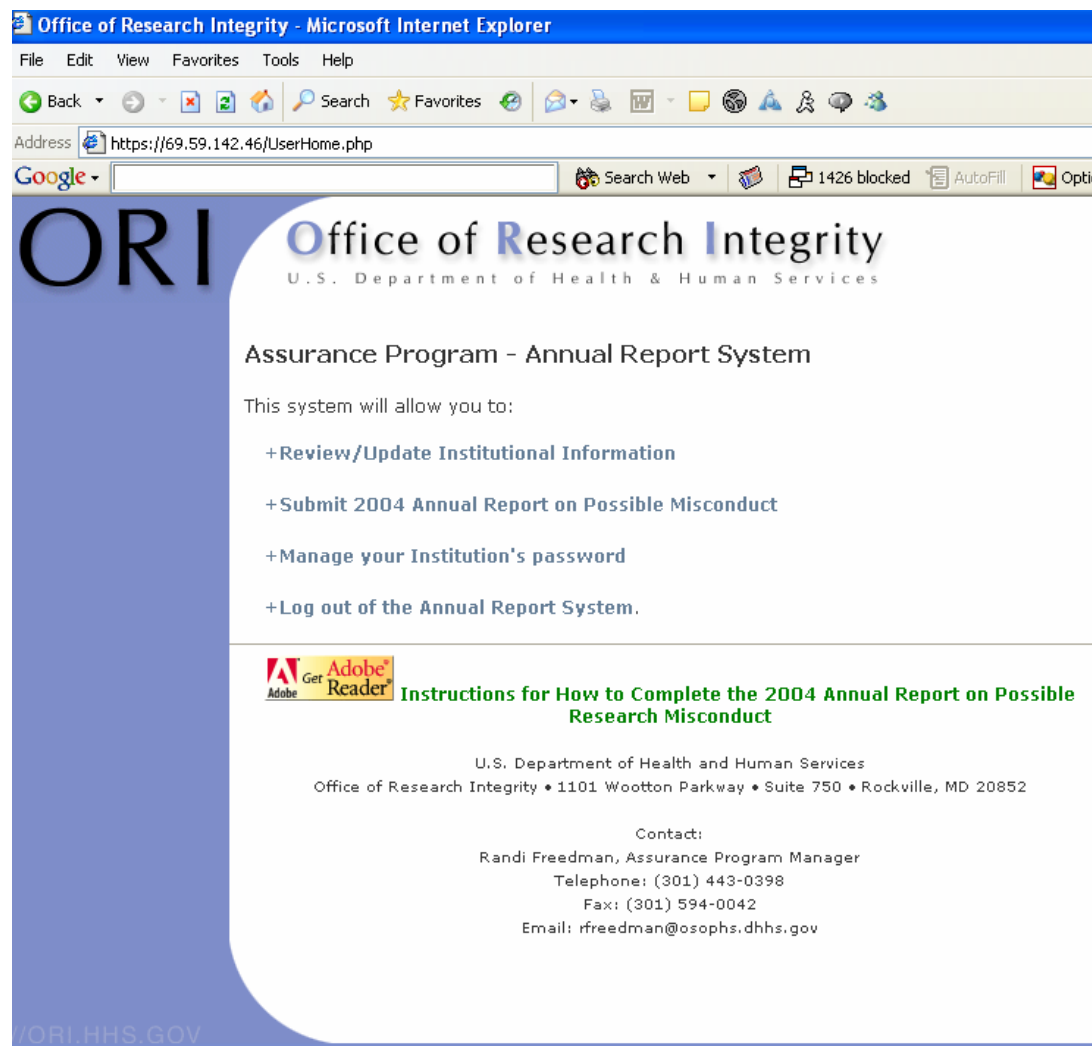+ Manage Password

+ Log out of the Assurance Program website

Figure 5

Step 1: From the Assurance Program Home Page (Figure 6) select "Review/Update Institutional Information Section."
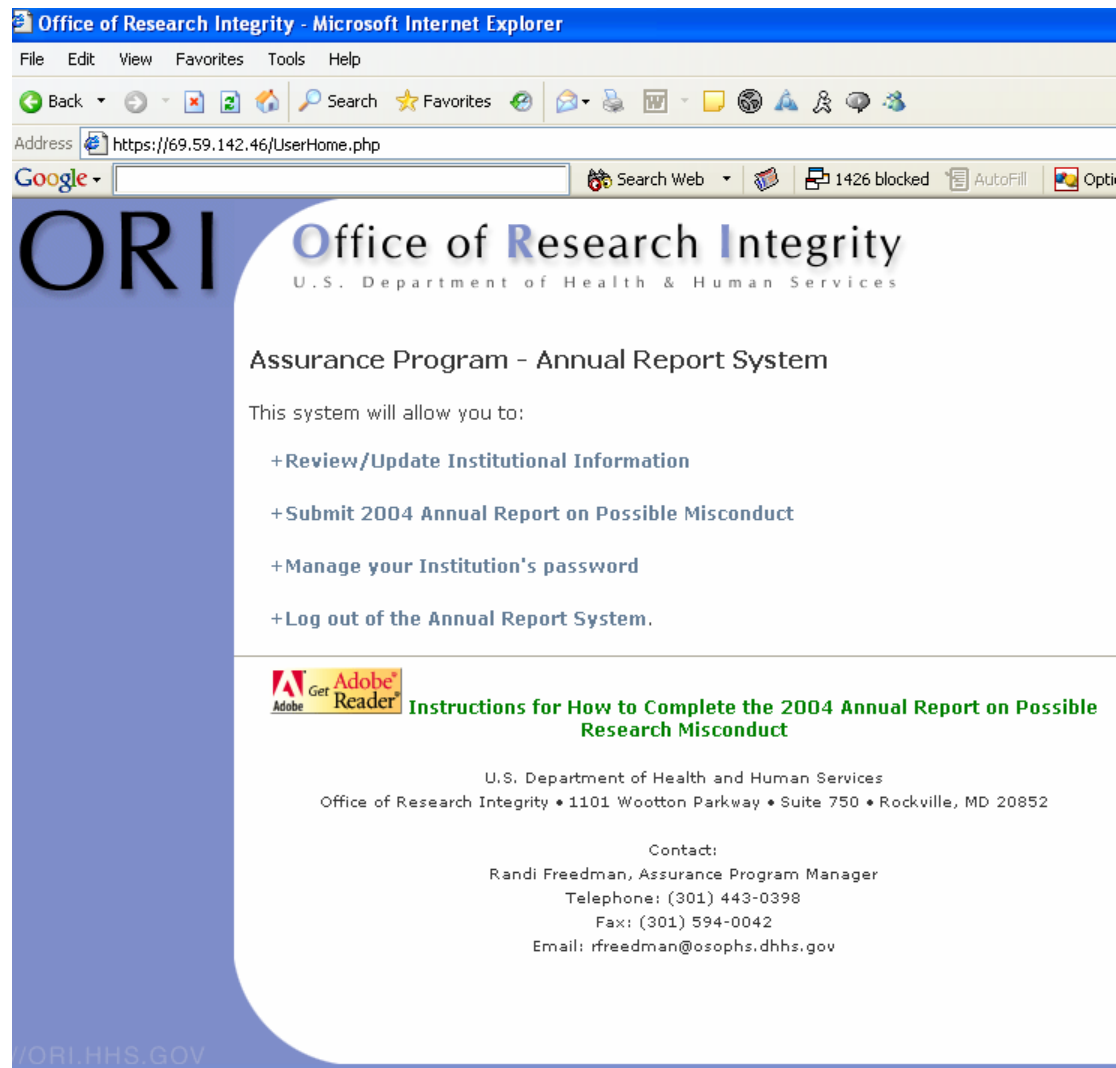

Figure 6

Result: Institutional Information screen (Figure 7)

This screen allows the user to make any changes to their institution's information.

Step 2: If there are no changes to your institution's information select "Approve."

NOTE: If you need to make changes to your institution's information go to **PAGE 11** of this handbook.

Figure 7

Result: Notification screen states that your institution's information has been updated (Figure 8).

Step 3: Select the appropriate option.

Figure 8

To make changes to your institution's information

Step 1: Select "Edit."

Figure 9

Step 2: Make any necessary changes to your institution's record on this screen (Figure 10) and select "Submit" to save the updated information.

Figure 10

Result: Figure 11

Step 3: Choose one of the following Options:

+ Click here to return to the Assurance Program Home Page.
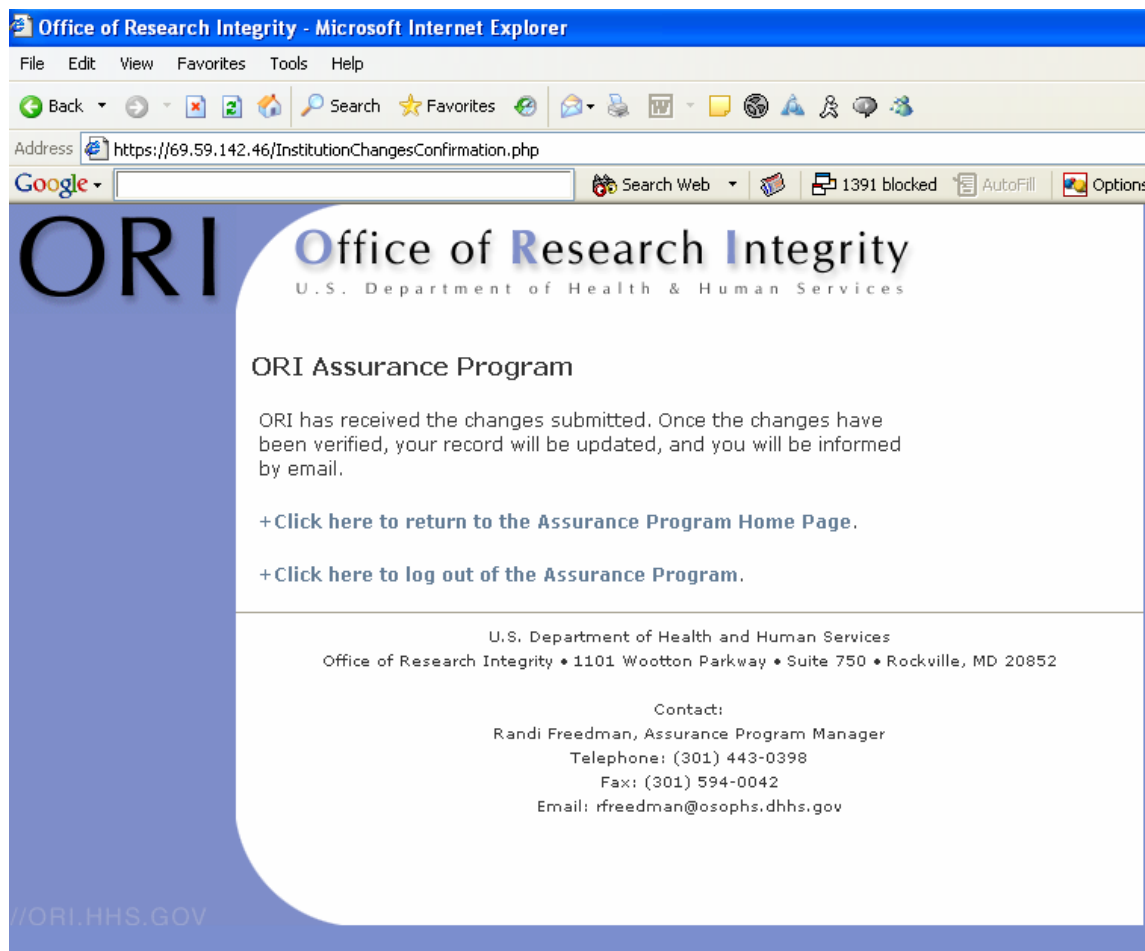
+ Click here to log out of the Assurance Program.

Figure 11

Example of an Email received after making changes to an Institution's information (Figure 12).
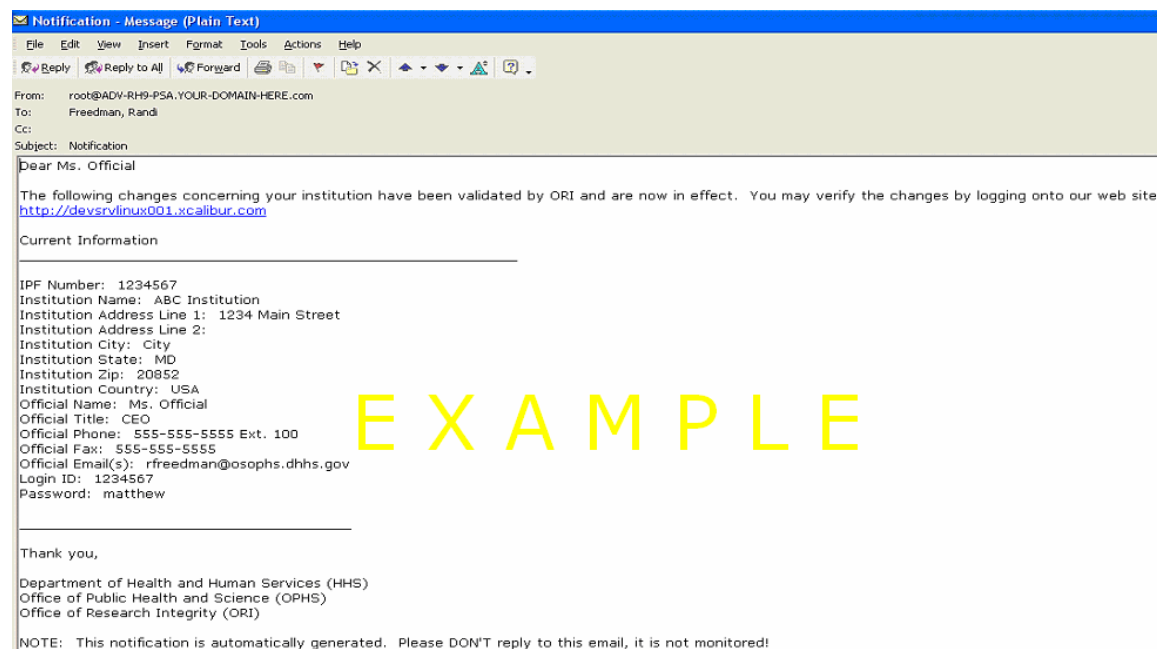

Figure 12

This section allows you to complete your Institution's 2004 Annual Report on Possible Research Misconduct.

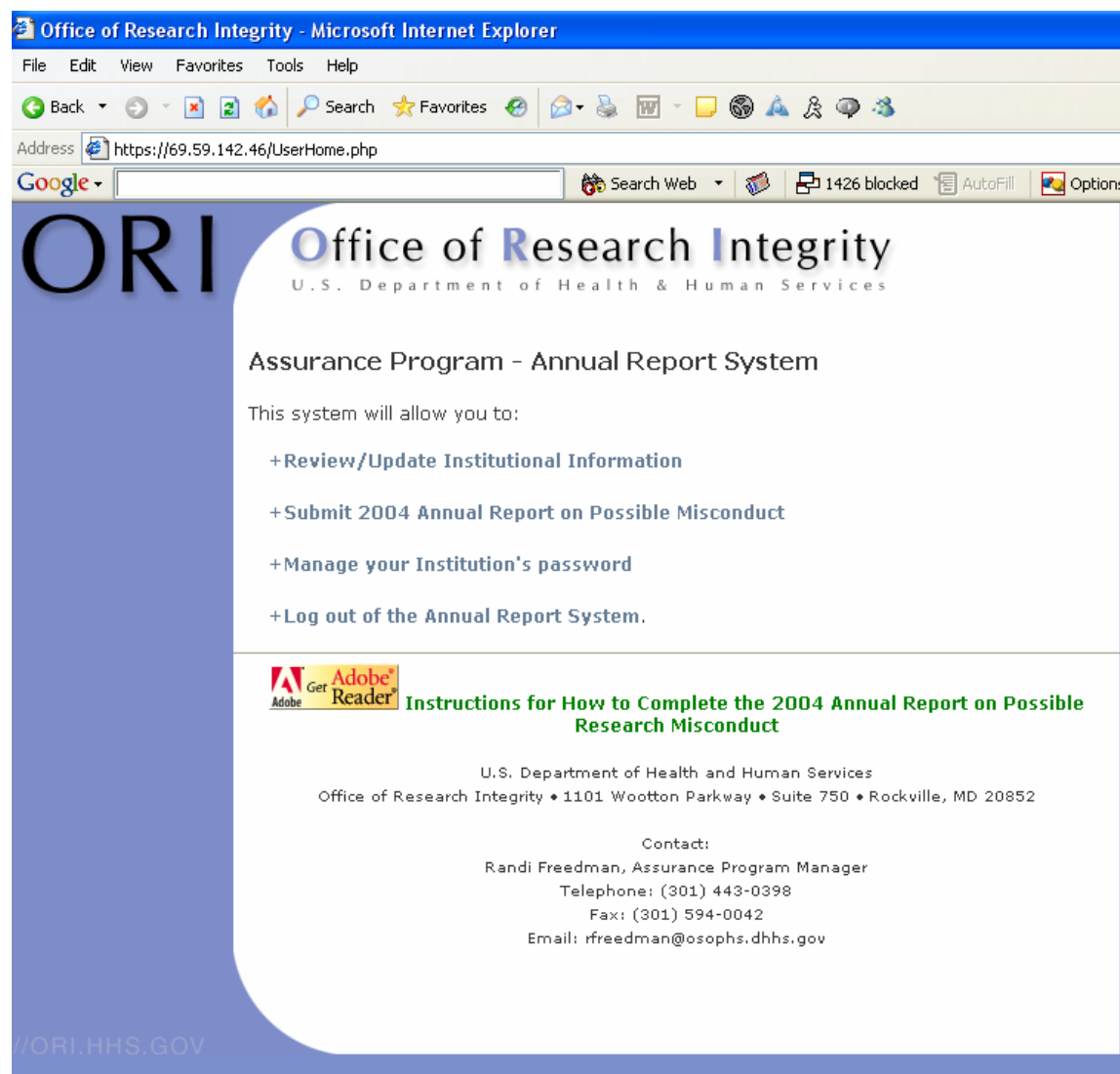**Step 1**: Select the "Submit 2004 Annual Report on Possible Misconduct" link.

Figure 13

Step 2: To submit the current year's (2004) Annual Report on Possible Research Misconduct select "Add."

NOTE: If this is your first year filing an Annual Report a message will appear on the screen indicating ORI does not have a current or previous year's Annual Report for your Institution on record.
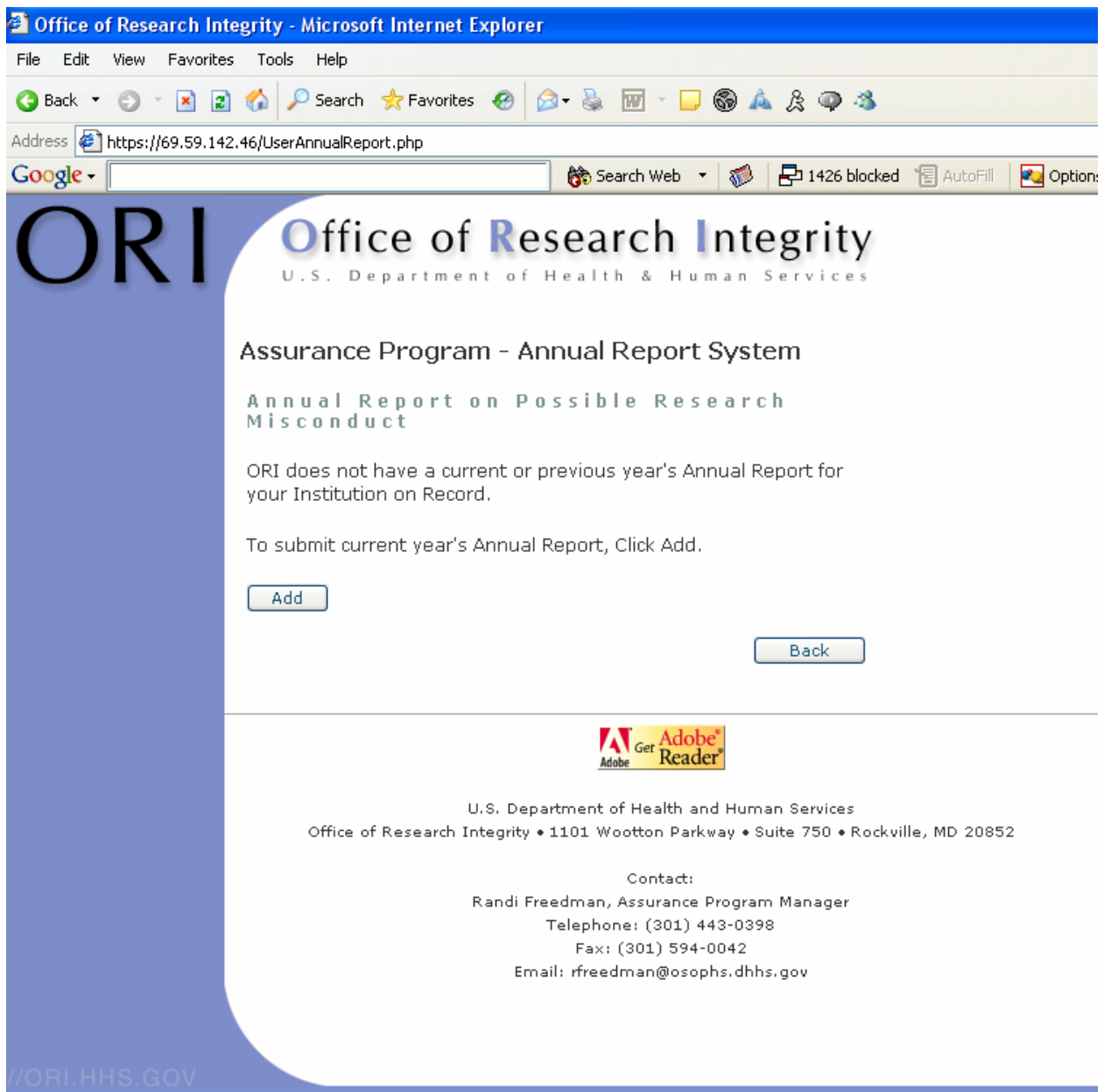

Figure 14

Result: The Confirm Institutional Information screen (Figure 15). This screen allows you to either change or confirm your Institution's information.

Step 3: If you choose to **edit** your Institution's information, select "Edit" and make the changes. Then select "Ok" to save the information and proceed with completing the Annual Report.   If **no changes** are necessary, select "Ok."

Figure 15

Result: Certifying Official's Information screen (Figure 16).

Step 4: Select "Next" to confirm information.

Figure 16

Step 5: Select the appropriate responses (Yes or No) to the questions presented.

NOTE: If you selected "**Yes**" for the second question "Has your institution received any allegations or conducted any inquiries or investigations of allegations…," **go to PAGE 22** of this handbook for instructions on how to complete the 2004 Annual Report on Possible Research Misconduct and begin with **Step 6**.

Step 6: Select "Next" to continue completing the Annual Report.

Figure 17

Result: 2004 Report on Possible Research Misconduct Confirmation screen (Figure 18).

Step 7: Review the information on this screen and select "Approve."

NOTE: Once you select "Approve," you **cannot** go back and make changes to your report. You can only review the report and print a copy for your records.

Figure 18

Result: Confirmation screen that your institutions completed 2004 Annual Report on Possible Research Misconduct has been received by ORI.

Step 8: Select either log off the system or return to the Assurance Program Home Page.

NOTE: If you wish to print a copy of your institutions 2004 Annual Report, select "Click here to return to the Assurance Program Home Page." For instructions on how to print out your report, see **PAGE 26** of this handbook

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Figure 19

If you select "Yes" indicating your institution has received allegations or conducted any inquiries or investigations of allegations during the reporting period

Step 6: Select "Next" to proceed to the next screen.

Figure 20

Step 7: Select the appropriate boxes and select "Next."

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Allegations

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported to the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do **NOT** include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2003-1234	☑ Inquiry	☐	☑	☐	☐
		☐ Investigation	☐	☐	☐	☐
2.		☐ Inquiry	☐	☐	☐	☐
		☐ Investigation	☐	☐	☐	☐
3.		☐ Inquiry	☐	☐	☐	☐
		☐ Investigation	☐	☐	☐	☐

2. Activity begun in 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	☑ Allegation	☑	☑	☑	☐
		☑ Inquiry	☑	☑	☑	☐
		☑ Investigation	☑	☑	☑	☐
2.		☐ Allegation	☐	☐	☐	☐
		☐ Inquiry	☐	☐	☐	☐
		☐ Investigation	☐	☐	☐	☐
3.		☐ Allegation	☐	☐	☐	☐
		☐ Inquiry	☐	☐	☐	☐
		☐ Investigation	☐	☐	☐	☐

[Back] [Next] [Cancel]

Figure 20

Result: 2004 Annual Report on Possible Research Misconduct confirmation screen (Figure 22).

Step 8: Select "Approve" to proceed to the next screen (if you need to make any changes select "Back").

Figure 22

Result: Your Institution's 2004 Annual Report on Possible Research Misconduct has been submitted to ORI.

Step 9: Select "Click here to return to the Assurance Program Home Page" to print a copy of your 2004 Annual Report for your records.
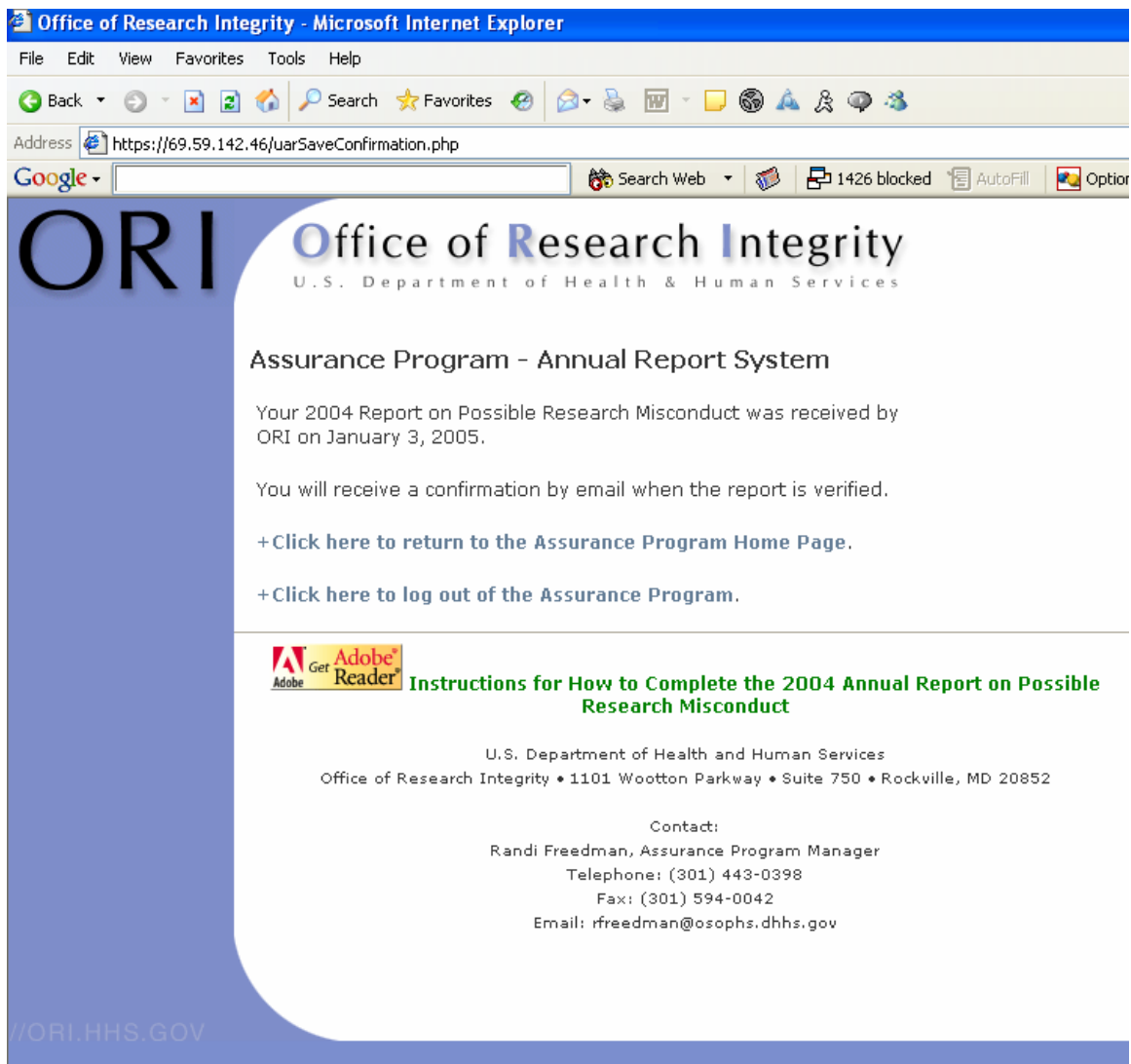

Figure 23

Step 1: Select "Review 2004 Annual Report on Possible Misconduct.
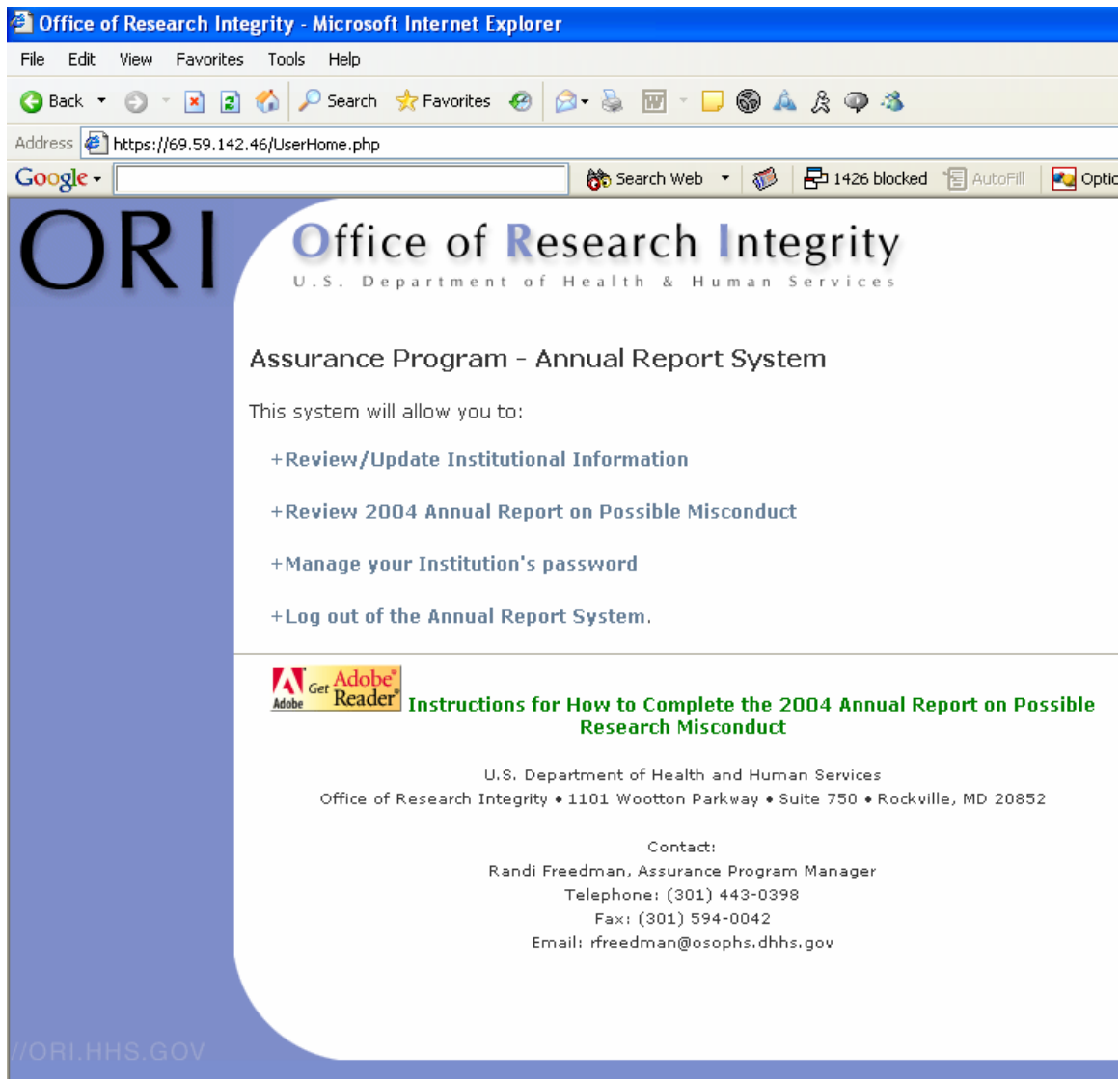
Figure 24

Step 2: Select "2004 Report."

Step 3: Select "Print View" to print a copy of your Annual Report. From your browser's window, select "File" then "Print."

ORI — Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2004 Report on Possible Research Misconduct

Certifying Official
Name: Randi Freedman **Title:** CEO
Phone: 555-555-5555 **Ext:**
Fax: 555-555-5555
Email: rfreedman@osophs.dhhs.gov

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

Yes

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported to the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do **NOT** include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2003-1234	Inquiry			X	
		Investigation				
2.		Inquiry				
		Investigation				
3.		Inquiry				
		Investigation				

2. Activity begun in 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	Allegation	X	X	X	
		Inquiry	X	X	X	
		Investigation	X	X	X	
2.		Allegation				
		Inquiry				
		Investigation				
3.		Allegation				
		Inquiry				
		Investigation				

[Back] [Print View]

Figure 26

Part 5 ✦ What to Do if you Forget the User ID and/or Password.

Step 1: If you have forgotten your User ID and/or password, select the "**Click here to get your User ID and Password**" link (circled in red).

You will be prompted at this screen (Figure 28) to enter in your IPF number, email address and Institution Name.

Step 2: Enter as much information as you can remember.

Step 3: Select "**Get Login**." (An email will be automatically generated to the user's email address on file with ORI.)

Figure 28

Result: Password notification change screen (Figure 29) indicating an email has been sent to the email address ORI has on file for your institution.
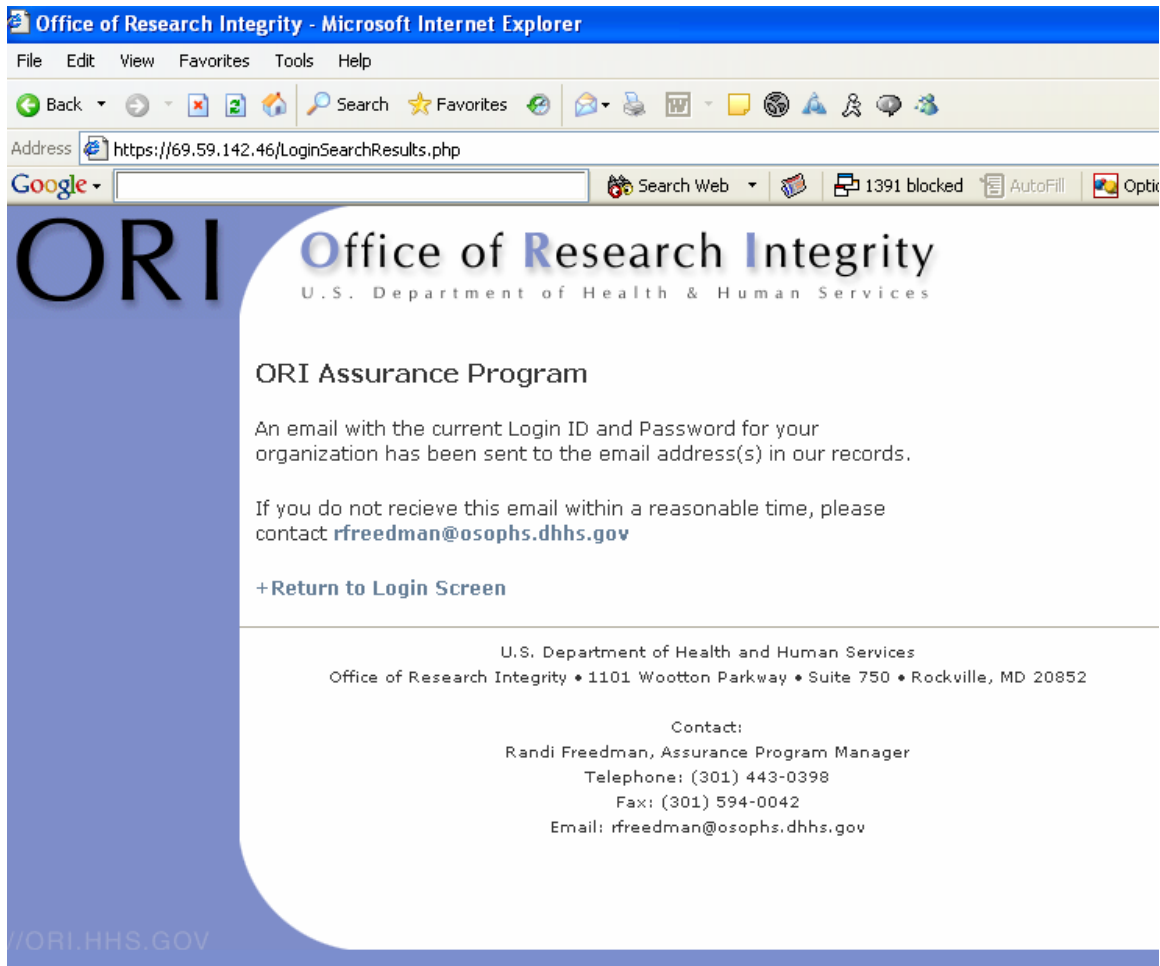

Figure 29

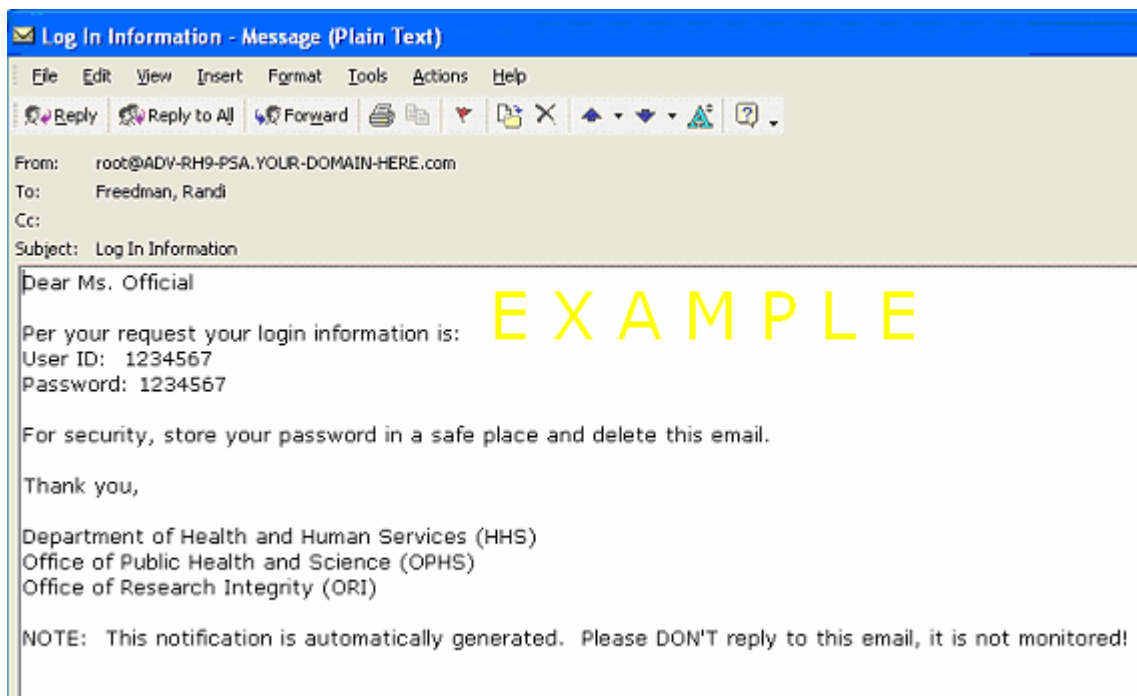Example of an email that is automatically generated to the user's email address on file with ORI (Figure 30).

Figure 30

Select either:

+ Click here to go to the ORI website, or
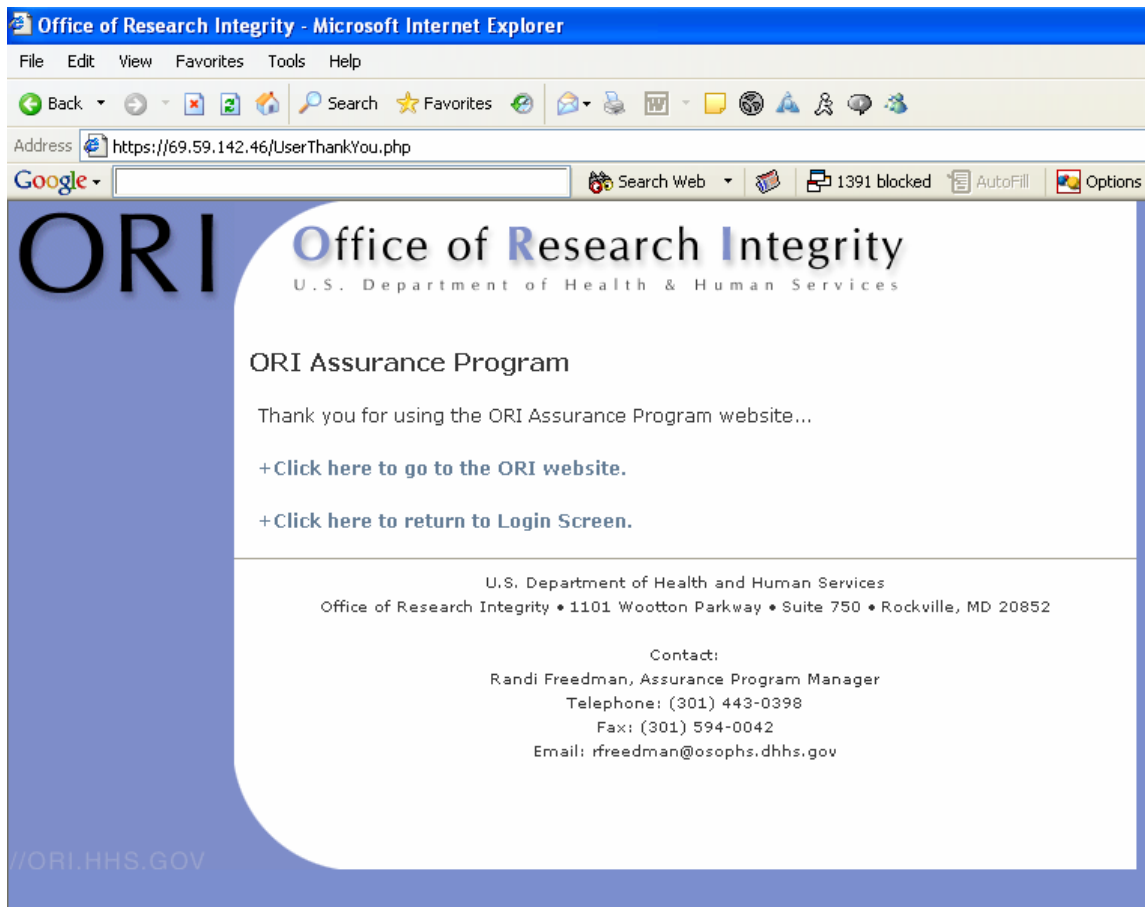
+ Click here to return to Login Screen

Figure 31